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PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/870,353
Filing Date	May 30, 2001
First Named Inventor	Wang, Yan
Group Art Unit	1633
Examiner Name	
Attorney Docket Number	020130000111

Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement,  
15 References

☐ Certified Copy of Priority  
Document(s)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

- ☐ Assignment Papers  
(for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69)  
and Accompanying Petition
- ☐ Petition to Convert to a  
Provisional Application
- ☐ Power of Attorney, Revocation  
Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s)

- ☐ After Allowance Communication to  
Group
- ☐ Appeal Communication to Board of  
Appeals and Interferences
- ☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter

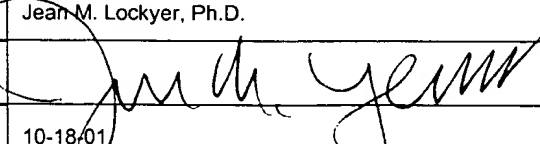
☒ Other Enclosure(s)  
(please identify below):

Return Postcard, Copy of the International  
Search Report

Remarks

The Commissioner is authorized to charge any additional fees to  
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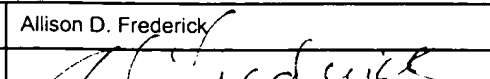
## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm and Individual name	Townsend and Townsend and Crew LLP Jean M. Lockyer, Ph.D.	Reg No. 44,879
Signature		
Date	10-18-01	

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Yan Wang, Lei Xi and Dennis E. Prosen

Application No.: 09/870,353

Filed: May 30, 2001

For: IMPROVED NUCLEIC ACID  
MODIFYING ENZYMES

Examiner:

Art Unit: 1633

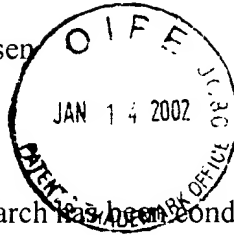
INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. Also enclosed is a copy of the International Search Report from the corresponding PCT application. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no



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representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

CERTIFICATION

I hereby certify that no item of information in the information disclosure statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in Section 1.56(c) more than three months prior to the filing of this information disclosure statement.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action on the merits. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

Jean M. Lockyer, Ph.D.  
Reg. No. 44,879

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